

UNITED STATES PATENT AND TRADEMARK OFFICE

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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/810,643	03/16/2001	Robert C. Pittinger	N0391/7005 SJH

CONFIRMATION NO. 7392

FORMALITIES LETTER



OC000000006016277

Steven J. Henry
Wolf, Greenfield & Sacks, P.C.
600 Atlantic Avenue
Boston, MA 02210

Date Mailed: 04/27/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

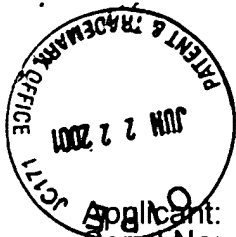
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

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ATTORNEY'S DOCKET NO: N0391/7005 SJH

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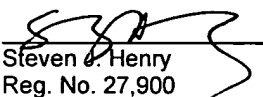
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Robert C. Pittenger
Serial No: 09/810,643
Filed: March 16, 2001
For: SECURITIES GRADING SYSTEM

Examiner: --
Art Unit: --

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to Commissioner for Patents, Washington, D.C. 20231, on the 19 day of June, 2001.


Steven J. Henry
Reg. No. 27,900

Office of Initial Patent Examination Customer Service Center
Commissioner for Patents
Washington, D.C. 20231

Sir:

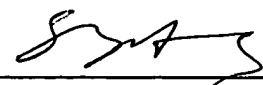
Transmitted herewith are the following documents:

- [x] Request to correct filing receipt
- [x] Copy of Notice to File Missing Parts
- [x] Inventor declaration
- [x] Return receipt postcard

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned at (617) 720-3500, Boston, Massachusetts.

A check in the amount of \$65.00 is enclosed to cover the filing fee. If the fee is insufficient, the balance may be charged to the account of the undersigned, Deposit Account No. 23/2825. A duplicate of this sheet is enclosed.

Respectfully submitted,


Steven J. Henry
Reg. No. 27,900
Wolf, Greenfield & Sacks, P.C.
600 Atlantic Avenue
Boston, MA 02210-2211
(617)720-3500

Docket No.: N0391/7005
Date: June 19, 2001

x6/27/01



ATTORNEY'S DOCKET NO: N0391/7005 SJH

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

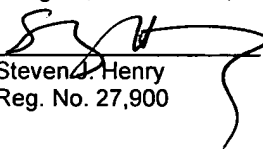
Applicant:
Serial No:
Filed:

Robert C. Pittenger
09/810,643
March 16, 2001
SECURITIES GRADING SYSTEM

Examiner: --
Art Unit: --

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

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Steven J. Henry
Reg. No. 27,900

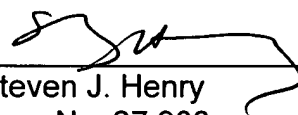
Office of Initial Patent Examination Customer Service Center
COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

Sir:

REQUEST FOR CORRECTED FILING RECEIPT

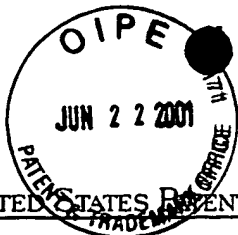
Please correct the filing receipt as indicated in red on the attached copy thereof, to correct the spelling of the inventor's name from "Pittinger" to --Pittenger--. A new, corrected filing receipt is requested.

Respectfully submitted,


Steven J. Henry
Reg. No. 27,900
Wolf, Greenfield & Sacks, P.C.
600 Atlantic Avenue
Boston, MA 02210-2211
(617)720-3500

Docket No.: N0391/7005
Date: June 19, 2001
x6/27/01

SJH



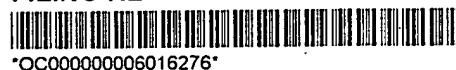
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO.	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/810,643	03/16/2001	2161	530	N0391/7005 SJH	4	6	4

CONFIRMATION NO. 7392

FILING RECEIPT



OC000000006016276

Steven J. Henry
Wolf, Greenfield & Sacks, P.C.
600 Atlantic Avenue
Boston, MA 02210

Date Mailed: 04/27/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Robert C. Pittenger, Omaha, NE;

File Folder	05/27/01	Initials
ECB		
Docket Entry	03/16/01	
Docket Cross Off		
Order Copies	03/16/01	
Annuities		
Confirmation	05/26/01	

Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/190,170 AND 60/172,000

Foreign Applications

If Required, Foreign Filing License Granted 04/27/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

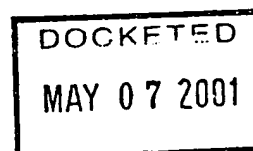
Non-Publication Request: No

Early Publication Request: No

** SMALL ENTITY **

Title

Securities grading system



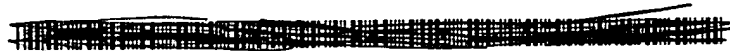
Preliminary Class

705

Data entry by : TRUONG, T

Team : OIPE

Date: 04/27/2001



LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15

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NOT GRANTED

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- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
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